

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
13768.502

In Re Application Of: **Malcolm H. Davis et al.**

Serial No.
Not Yet Assigned

Filing Date
March 26, 2004

Examiner
Not Yet Assigned

Group Art Unit
Not Yet Assigned

Title: **RIGHTS MANAGEMENT INTER-ENTITY MESSAGE POLICIES AND ENFORCEMENT**

Address to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

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RIGHTS MANAGEMENT INTER-ENTITY MESSAGE POLICIES AND ENFORCEMENT

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **23-3178** as described below.
- ☐ Charge the amount of _____
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F:

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I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Certificate

***This certificate may only be used if paying by deposit account.**



Signature

Dated: **March 26, 2004**

Michael B. Dodd
Registration No. 46,437
Attorney for Applicants

Customer No. 022913

CC:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)	
)	
	Malcolm H. Davis et al.)	
)	
Serial No.:	Not Yet Assigned)	Art Unit
)	Not Yet Assigned
Filed:	March 26, 2004)	
)	
For:	RIGHTS MANAGEMENT INTER-)	
	ENTITY MESSAGE POLICIES AND)	
	ENFORCEMENT)	
)	
Examiner:	Not Yet Assigned)	

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record

believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

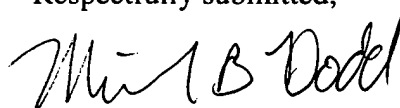
In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each non-English reference, if any, are also enclosed.

Since all listed references are either in the English language or are accompanied by a translation into English, no concise explanation of relevance is required under 37 C.F.R. § 1.98(a)(3).

DATED this 26th day of March, 2004.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Michael B. Dodd", is written over the typed name.

Michael B. Dodd
Registration No. 46,437
Attorneys for Applicant

Customer No. 022913

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

13768.502

Application Number

Not Yet Assigned

Applicant(s)

Malcolm H. Davis et al.

Filing Date

March 26, 2004

Group Art Unit

Not Yet Assigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		6,263,313	07/17/01	Milsted et al.	705	1	11/30/98
		6,327,652	12/04/01	England et al.	713	2	01/08/99
		6,330,670	12/11/01	England et al.	713	2	01/08/99
		6,345,256	02/05/02	Milsted et al.	705	1	12/01/98
		6,389,403	05/14/02	Dorak Jr.	705	52	09/17/99
		6,418,421	07/09/02	Hurtado et al.	705	54	12/10/98
		6,502,137	12/31/02	Peterson et al.	709	229	10/09/97
		6,587,837	07/01/03	Spagna et al.	705	26	12/01/98
		6,597,891	07/22/03	Tantawy et al.	455	3.05	04/16/99
		6,609,199	08/19/03	DeTreville	713	172	04/06/99
		6,611,841	08/26/03	Han	707	102	04/03/00

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

		J. Watkins, "COPEARMS and ERMS: Co-Operation in Rights Management in the Electronic Environment," The New Review of Information Networkikng, vol. 4, 1998, p.p. 127-133.
		L.C. Anderson and J.B. Lotspiech, "Rights Management and Security in the Electronic Library," Bulletin of the American Society for Information Science, vol. 22, no. 1, November 1995, p.p. 21-23.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.